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Application Number	09/225,537
Filing Date	1/4/99
First Named Inventor	Philip Myron Ginsberg
Group Art Unit	2787
Examiner Name	
Attorney Docket Number	1453.001C

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Sheet 1 of 1

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Substitute for form 1449B/PTO

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

of

Application Number

09/225,537

Filing Date

1/4/99

First Named Inventor

Philip Myron Ginsberg

Group Art Unit

2787

Examiner Name

Attorney Docket Number

1453.001C

**RECEIVED****OCT 07 1999****OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Group 2700
A		D. LEINWEBER, 'Knowledge-Based Systems for Financial Applications' 1988, p. 18-31, vol. 3 no. 3, I.E.E.E. Expert, New York, NY	
G		T. M. PATEL and G. E. KAISER, 'The SPLENDORS Real Time Portfolio Management System', Oct. 1991, p. 73-78, Proceedings of the First Int'l Conference of Artificial Intelligence on Wall Street, NY, NY	
G		L. KOFLOWITZ, 'Bond Boom Yields High Interest In Fixed-Income Systems', Sept. 1989, p. 40-56, vol. 6 no. 12, Wall Street Computer Review, US	
G		C. DIALYNAS, 'The Active Decisions In The Selection Of Passive Management And Performance Bogeys', 1987, p. 19-33, Advances in Bond Analysis & Portfolio Strategies, IL, US	
GA		Software To Control Fixed Income Portfolios', Feb. 1986, p. 46-52, vol. 3 no. 5, Wall Street Computer Review, US	
G		H. BANNISTER, 'Portfolio Optimisation in the Money Market', 8-11 Sept. 1987, p. 558-577, Australian Computer Conference, Melbourne, Victoria, Australia	
G		H. M. BYRAMJI, 'Software Packages Assist Diverse Needs of Bond Portfolio Managers', June 1985, p. 61-65, vol. 2 no. 8, Wall Street Computer Review, US	
CA		P. J. BRENNAN, 'Software Advance Distills 'Order' From Market 'Chaos'', March 1989, p. 14, 16, 63-64, vol. 6 no. 6, Wall Street Computer Review, US	
CA		M. ASNER, 'Software Stockpickers', Sept. 1984, p. 138-142, vol. 57 no. 9, Canadian Business, CA	

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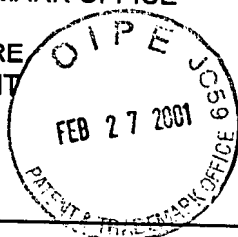
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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CF/021 CON CPAAPPLICATION NO.  
09/225,537INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTAPPLICANT  
Philip M. GinsbergFILING DATE  
January 4, 1999  
CPA Filed July 31, 2000GROUP ART UNIT  
2164

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE <b>RECEIVED</b>
GA	6,088,685	07/11/2000	Kiron et al.	705	36	
GA	5,806,048	09/08/1998	Kiron et al.	705	36	PAR 01 2001 Technology Center 2100

## FOREIGN PATENT DOCUMENTS

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